

Fig. 1

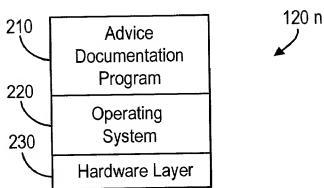


Fig. 2A

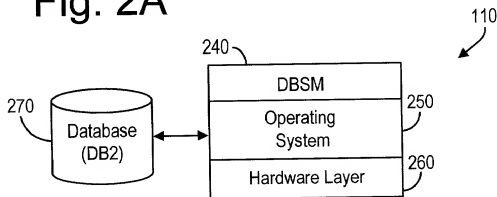


Fig. 2B

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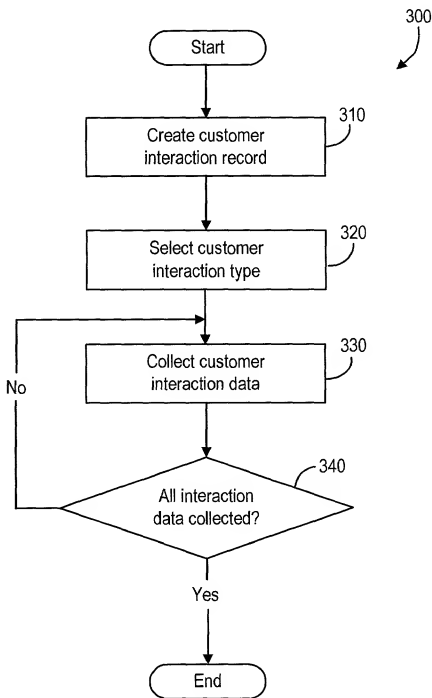


Fig. 3

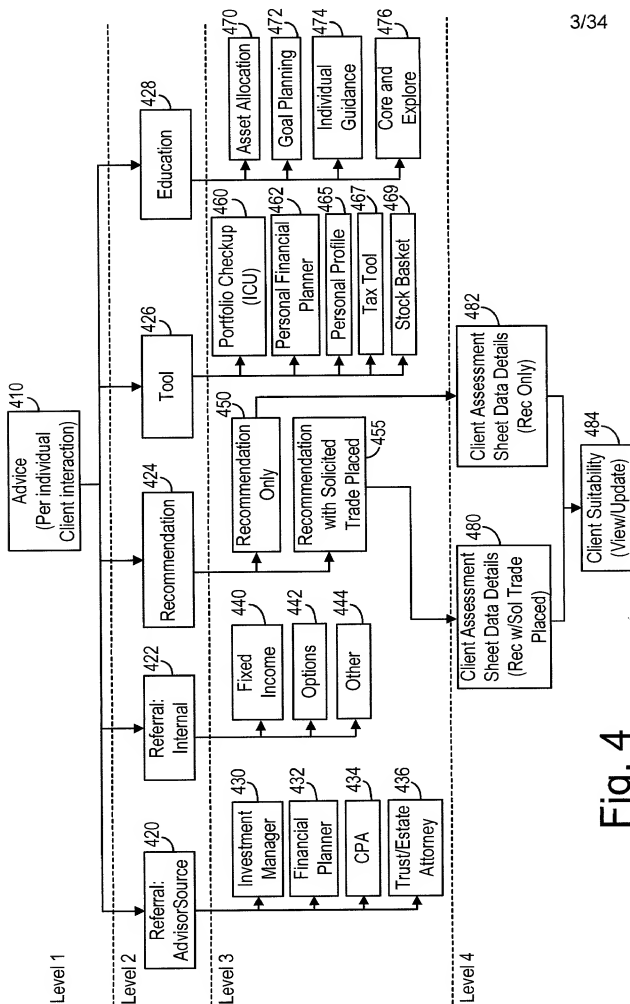


Fig. 4

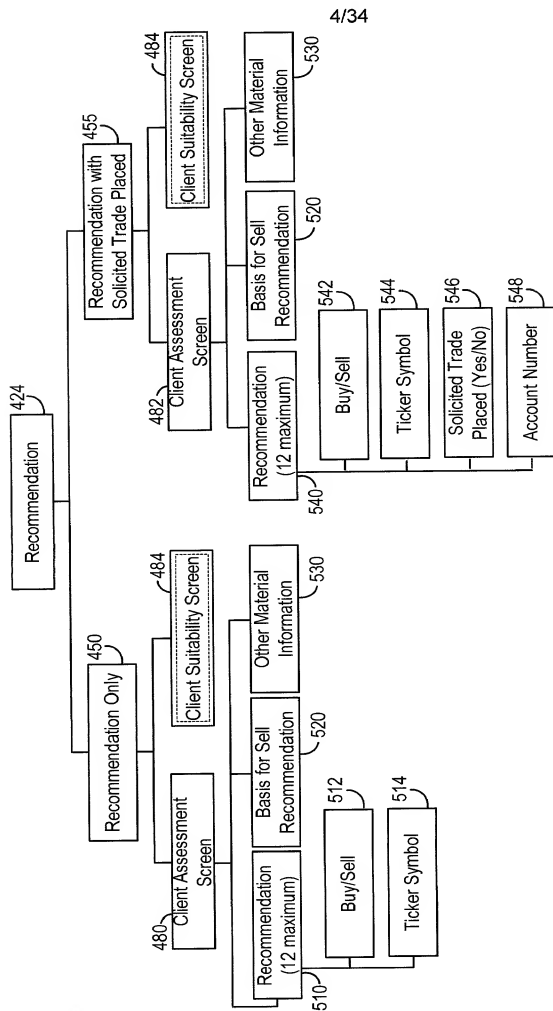


Fig. 5

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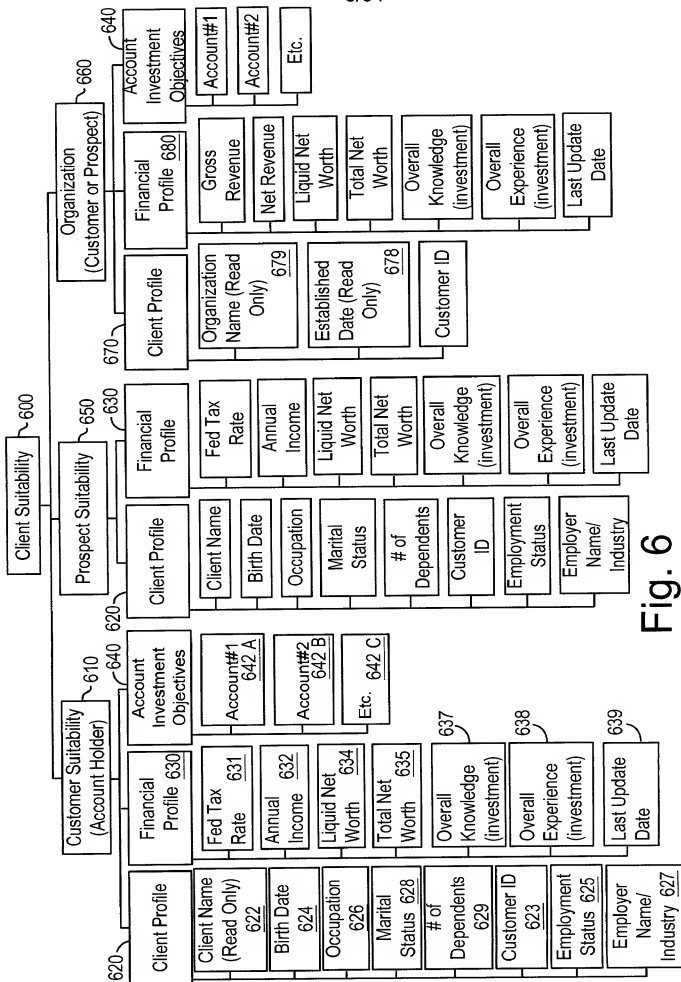


Fig. 6

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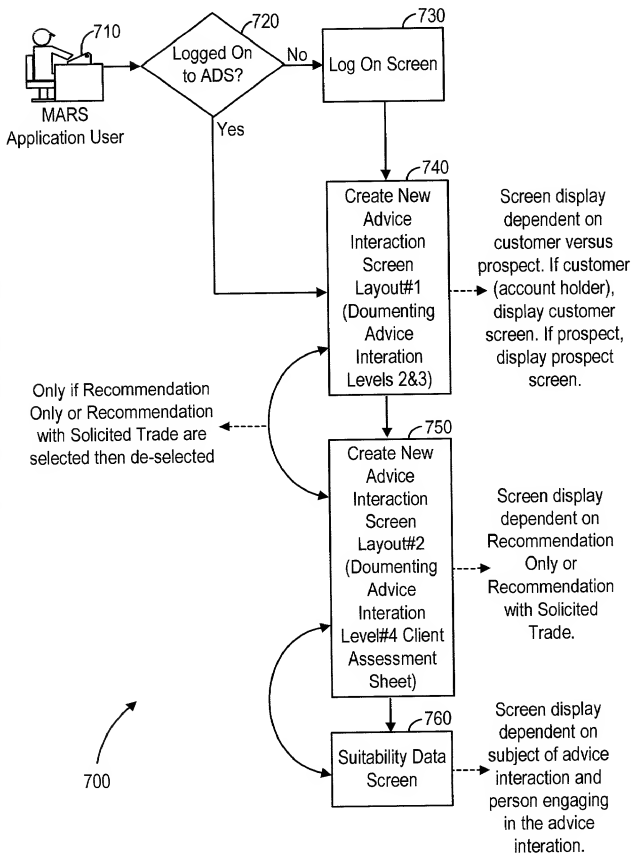
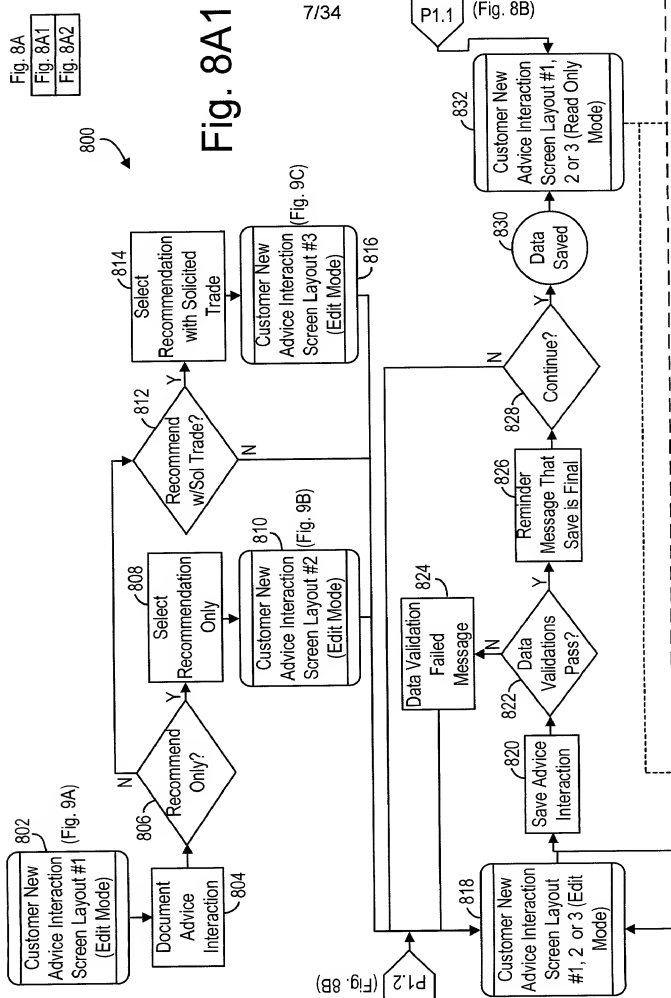


Fig 7

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Fig. 8A  
 Fig. 8A1  
 Fig. 8A2



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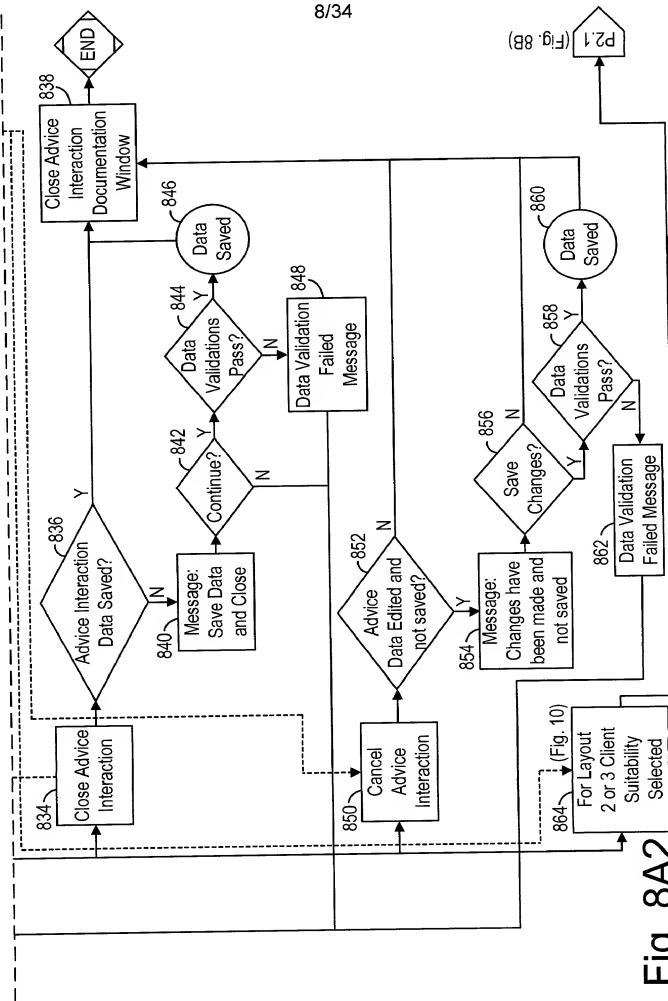


Fig. 8A2



Fig. 8B  
 Fig. 8B1  
 Fig. 8B2

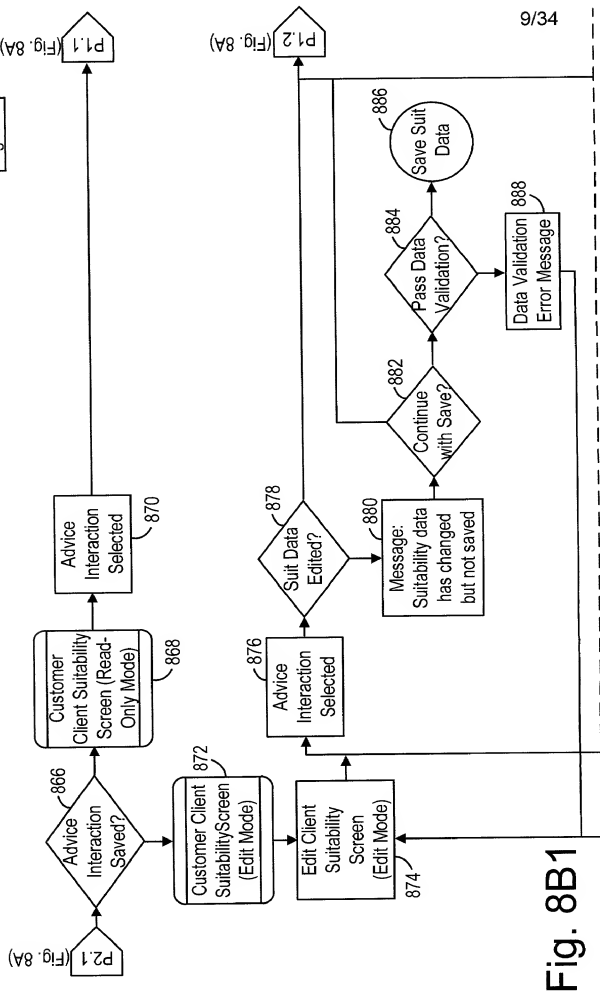


Fig. 8B1

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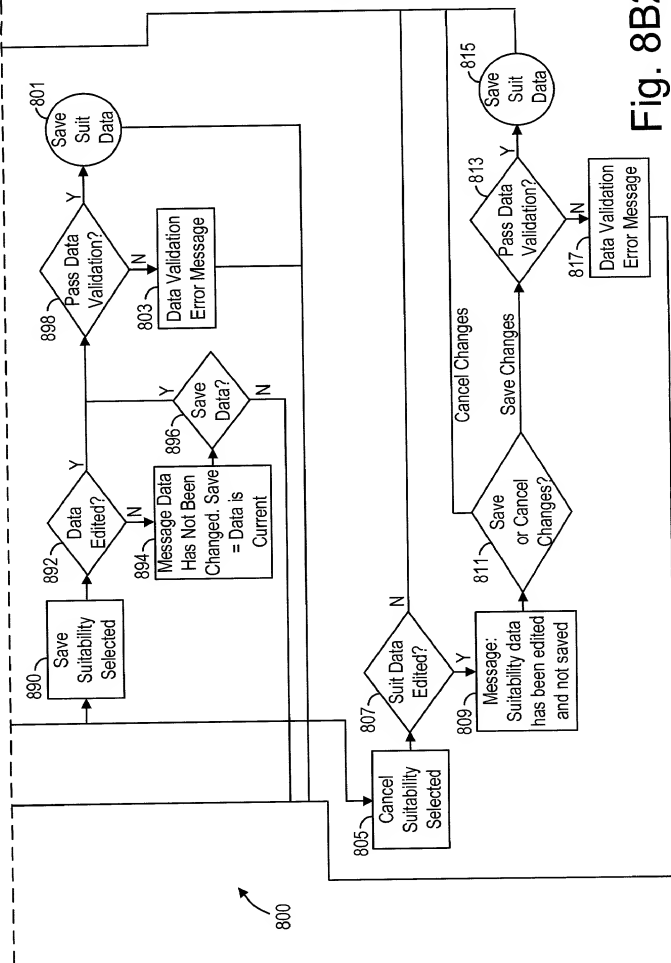


Fig. 8B2

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New Advice Interaction: Customer Save Close Cancel

Rep Beta Sign On	RDRO	Group/Team	Select One
------------------	------	------------	------------

<b>Client Name</b>	
Scaffa	Rosemarie
Last	First
	X
	Initial

  
**Advice Interaction Detail**  
**Referral: AdvisorSource (SAS)**  

<input type="checkbox"/> Investment Manager	<input type="checkbox"/> Financial Planner	<input type="checkbox"/> Trust/Estate Attorney	<input type="checkbox"/> CPA
---	--	--	------------------------------

  
**Referral: Internal**  

<input type="checkbox"/> Fixed Income	<input type="checkbox"/> Options	<input type="checkbox"/> Other
---------------------------------------	----------------------------------	--------------------------------

  
**Tool**  

<input type="checkbox"/> Portfolio Checkup	<input type="checkbox"/> Personal Financial Plan	<input type="checkbox"/> BIP
--	--	------------------------------

  
**Education**  

<input type="checkbox"/> Asset Allocation	<input type="checkbox"/> Core and Explore	<input type="checkbox"/> Individual Guidance	<input type="checkbox"/> Goal Planning
---	---	--	--

  
**Recommendation**  

<input type="checkbox"/> Recommendation(s) Only	<input type="checkbox"/> Recommendation(s) With Solicited Trade(s) Placed
---	---

Recommendation(s) were discussed with the following person	Select One
--	------------

900

Fig. 9A

12/34

**New Advice Interaction: Customer** Suitability Save Close Cancel

Rep Beta Sign On RDRO Group/Team Select One >

Client Name Scaffa Rosemarie X Initial  
 Last First

**Advice Interaction Detail**

Referral: AdvisorSource (SAS) ☐ Investment Manager ☐ Financial Planner ☐ Trust/Estate Attorney ☐ CPA

Referral: Internal ☐ Fixed Income ☐ Options ☐ Other

**Tool** ☐ Portfolio Checkup ☐ Personal Financial Plan ☐ BIP

**Education** ☐ Asset Allocation ☐ Core and Explore ☐ Individual Guidance ☐ Goal Planning

**Recommendation** ☐ Recommendation(s) Only ☐ Recommendation(s) With Solicited Trade(s) Placed

Recommendation(s) were discussed with the following person Select One >

**Client Assessment: Recommendation(s) Only**

Please review Suitability information pertinent to this Client Assessment and update if warranted.

☐ Suitability data has been reviewed

**Securities Recommended**

For securities that not have a ticker symbol, please enter the Security Number in the Ticker Symbol field.

900

Fig. 9B1

13/34

	Recommendation	Ticker Symbol
1.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
2.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
3.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
4.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
5.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
6.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
7.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
8.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
9.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
10.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
11.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
12.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>

**Basis For Recommendation**

- ☐ Initial Investment Strategy
- ☐ Asset Allocation Adjustment
- ☐ Change in Client Goals and/or Objectives
- ☐ Change in Client Risk Tolerance and/or Time Frame
- ☐ Change in Client Financial Situation
- ☐ Concentrated Equity Position
- ☐ Other (Please explain below)

<input type="text"/>	<input type="button" value="v"/>
	<input type="button" value="u"/>

**Other Material Information (optional)**

<input type="text"/>	<input type="button" value="v"/>
	<input type="button" value="u"/>

900

Fig. 9B2

006

**Client Assessment:** Recommendation(s) with Solicited Trade(s) Placed

☐ Suitability data has been reviewed

Fig. 9C1

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### Securities Recommended

For securities that do not have a ticker symbol, please enter the Security Number in the Ticker Symbol field.

	Recommendation	Ticker Symbol	Solicited Trade Placed	Account Number
1.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
2.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
3.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
4.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
5.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
6.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
7.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
8.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
9.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
10.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
11.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
12.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼

### Basis For Recommendation

- ☐ Initial Investment Strategy
- ☐ Asset Allocation Adjustment
- ☐ Change in Client Goals and/or Objectives
- ☐ Change in Client Risk Tolerance and/or Time Frame
- ☐ Change in Client Financial Situation
- ☐ Concentrated Equity Position
- ☐ Other (Please explain below)

▼  
 □  
 ▲

### Other Material Information (optional)

▼  
 □  
 ▲

970

Fig. 9C2

16/34

Cancel

Save

Advice Interaction

Client Suitability: Customer

## Client Profile

Name

Scafa  
Last

Rosemarie  
First

X  
Initial

Birth Date

Occupation

Marital Status

No. of Dependents

## Financial Profile

Last Updated: 10/01/1999

Federal Tax Rate (%)

Annual Income (\$000's)

Liquid Net Worth (\$000's)

Total Net Worth (\$000's)

Overall Knowledge

Overall Experience

## Account Investment Objectives

Client Investment Objectives for the following Accounts

12345678

☐ Capital Preservation

☐ Growth

☐ Speculation

73558963

☐ Capital Preservation

☐ Growth

☐ Speculation

90472214

☐ Capital Preservation

☐ Growth

☐ Speculation

Fig. 10A



## Client Suitability: Customer

Cancel

Save

Advice Interaction

## Client Profile

Name  
 Scata  
 Last

Rosemarie  
 First

X  
 Initial

Birth Date  
 12/17/1960

Occupation

Marital Status

---Select One---

No. of Dependents

## Financial Profile

Last Updated: 10/01/1999

Federal Tax Rate (%)

---Select One---

Annual Income (\$000's)

---Select One---

Liquid Net Worth (\$000's)

---Select One---

Total Net Worth (\$000's)

---Select One---

Name  
 Smith  
 Last

Sam  
 First

A  
 Initial

Role  
 Custodian

Overall Knowledge

---Select One---

Overall Experience

---Select One---

## Account Investment Objectives

Client Investment Objectives for the following Accounts

12345678

☐ Capital Preservation

☐ Growth

☐ Speculation

73559963

☐ Capital Preservation

☐ Growth

☐ Speculation

Fig. 10B

Fig. 10C

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## Client Suitability: Customer

Cancel

Save

Advice Interaction

## Client Profile

Organization Name

Money is Fun Investment Club

Established Date

12/17/1960

## Financial Profile

Last Updated: 10/01/1999

Gross Revenue (\$000')

---Select One---

Net Revenue (\$000's)

---Select One---

Liquid Net Worth (\$000's)

---Select One---

Total Net Worth (\$000's)

---Select One---

Name

Smith  
Last

A  
First

Role

First Listed Agent

Overall Knowledge

---Select One---

Overall Experience

---Select One---

## Account Investment Objectives

Client Investment Objectives for the following Accounts

12345678

☐ Capital Preservation

☐ Income

☐ Growth

☐ Speculation

Fig. 10D

20/34

Fig. 11A

Fig. 11A1
Fig. 11A2

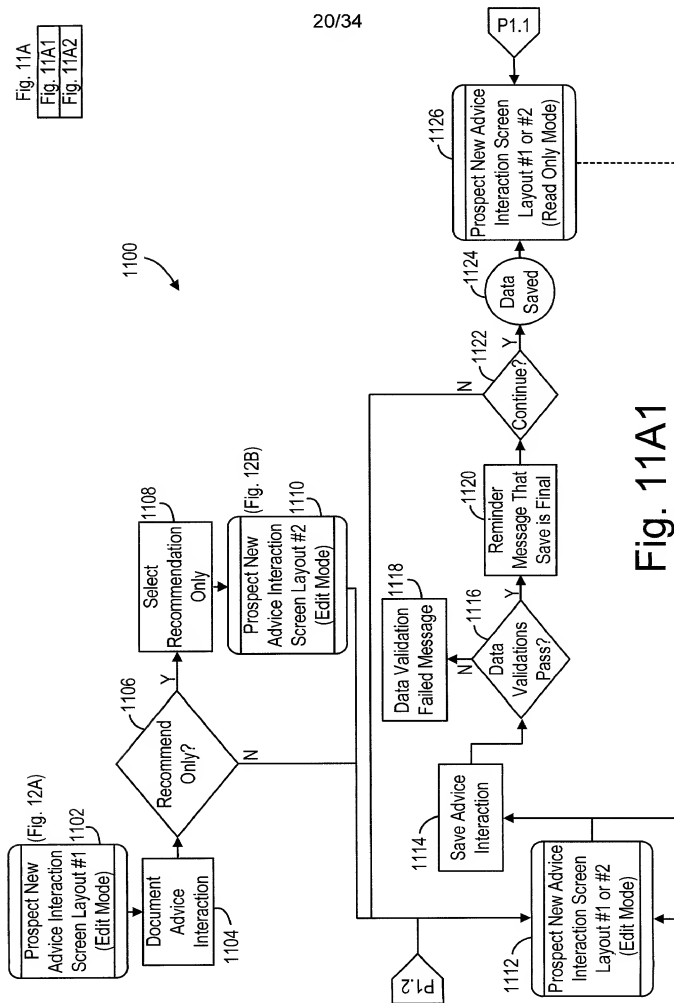


Fig. 11A1

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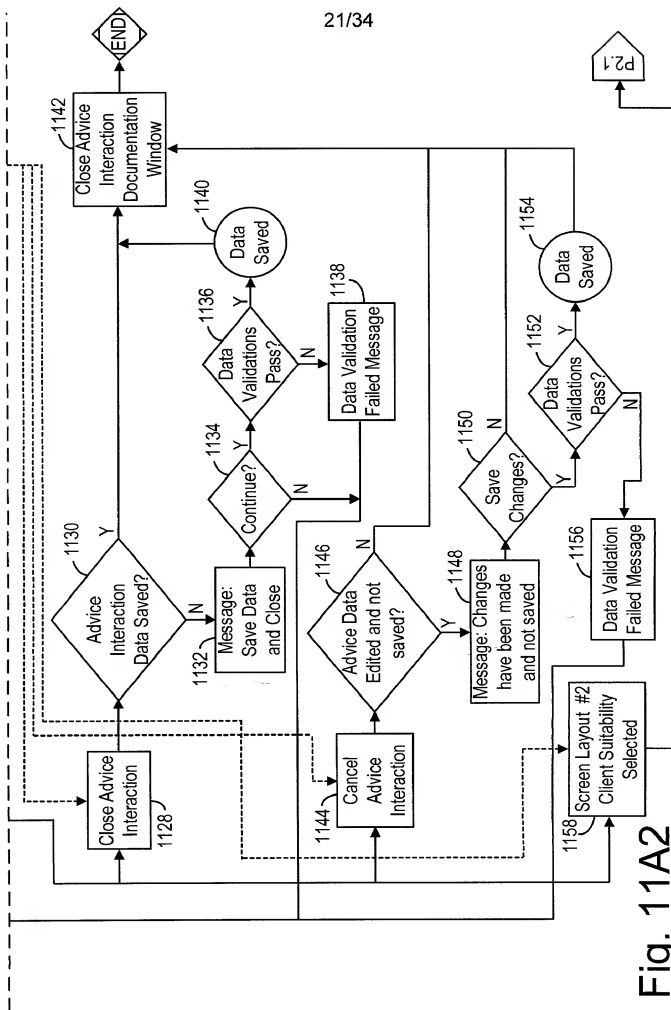
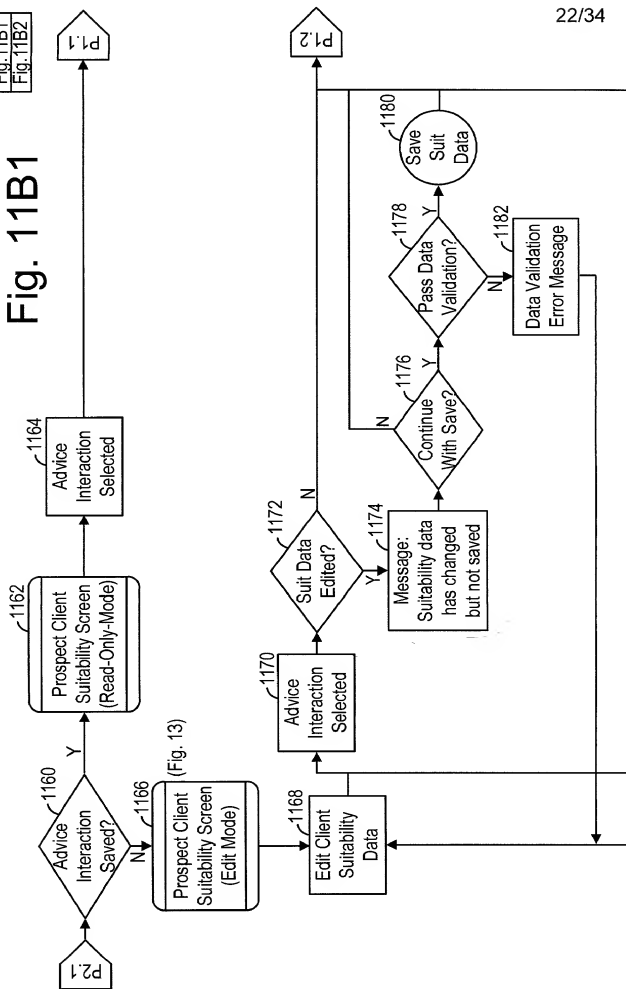


Fig. 11A2

Fig. 11B

Fig. 11B1  
 Fig. 11B2

Fig. 11B1



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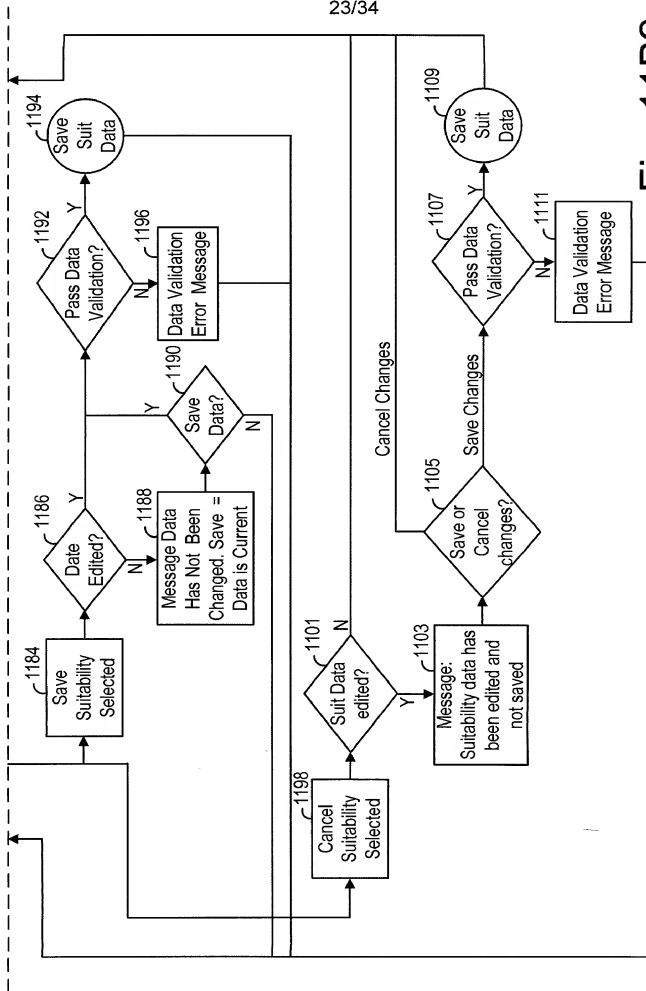


Fig. 11B2

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**New Advice Interaction: Prospect** Save Close Cancel

Rep Beta Sign On RDRO Group/Team  
Client Name Scafa Last Rosemarie First X Initial  
Select One Date of Interaction

**Advice Interaction Detail**

Referral: AdvisorSource (SAS)

☐ Investment Manager ☐ Financial Planner ☐ Trust/Estate Attorney ☐ CPA

**Referral: Internal**

☐ Fixed Income ☐ Options ☐ Other

**Tool**

☐ Portfolio Checkup ☐ Personal Financial Plan ☐ BIP

**Education**

☐ Asset Allocation ☐ Core and Explore ☐ Individual Guidance ☐ Goal Planning

**Recommendation**

☐ Recommendation(s) Only

Fig. 12A

1200



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## New Advice Interaction: Prospect

Rep Beta Sign On RDRO Group/Team

Client Name

Scafa Last  
Rosemarie First  
X Initial

Select One ▾

Date of Interaction

Suitability Save Close Cancel

## Advice Interaction Detail

Referral: AdvisorSource (SAS)

☐ Investment Manager ☐ Financial Planner ☐ Trust/Estate Attorney ☐ CPA

Referral: Internal

☐ Fixed Income ☐ Options ☐ Other

Tool

☐ Portfolio Checkup ☐ Personal Financial Plan ☐ BIP

Education

☐ Asset Allocation ☐ Core and Explore ☐ Individual Guidance ☐ Goal Planning

Recommendation

☐ Recommendation(s) Only

1200

Fig. 12B1

Fig. 12B1A

Fig. 12B1B

Fig. 12B1A

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**Client Assessment: Recommendation(s) Only**

Please review Suitability information pertinent to this Client Assessment and update if warranted.

☐ Suitability data has been reviewed

**Securities Recommended**

For securities that do not have a ticker symbol, please enter the Security Number in the Ticker Symbol field.

**Recommendation**      **Ticker Symbol**

- |     |  |                      |
|-----|--|----------------------|
| 1.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 2.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 3.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 4.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 5.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 6.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 7.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 8.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 9.  | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 10. | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 11. | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |
| 12. | <input type="radio"/> Buy <input type="radio"/> Sell | <input type="text"/> |

Fig. 12B1B

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**Basis For Recommendation**

- ☐ Initial Investment Strategy
- ☐ Asset Allocation Adjustment
- ☐ Change in Client Goals and/or Objectives
- ☐ Change in Client Risk Tolerance and/or Time Frame
- ☐ Change in Client Financial Situation
- ☐ Concentrated Equity Position
- ☐ Other (Please explain below)

	▼
	▲

**Other Material Information (optional)**

	▼
	▲

1200

Fig.12B2

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Cancel

Save

Advice Interaction

Client Suitability: Prospect

## Client Profile

Name

Scafa  
Last

Rosemarie  
First

X

Initial

Birth Date

Occupation

Marital Status

No. of Dependents

## Financial Profile

Last Updated: 10/01/1999

Federal Tax Rate (%)

Annual Income (\$000's)

Liquid Net Worth (\$000's)

Total Net Worth (\$000's)

Overall Knowledge

Overall Experience

1300

Fig. 13

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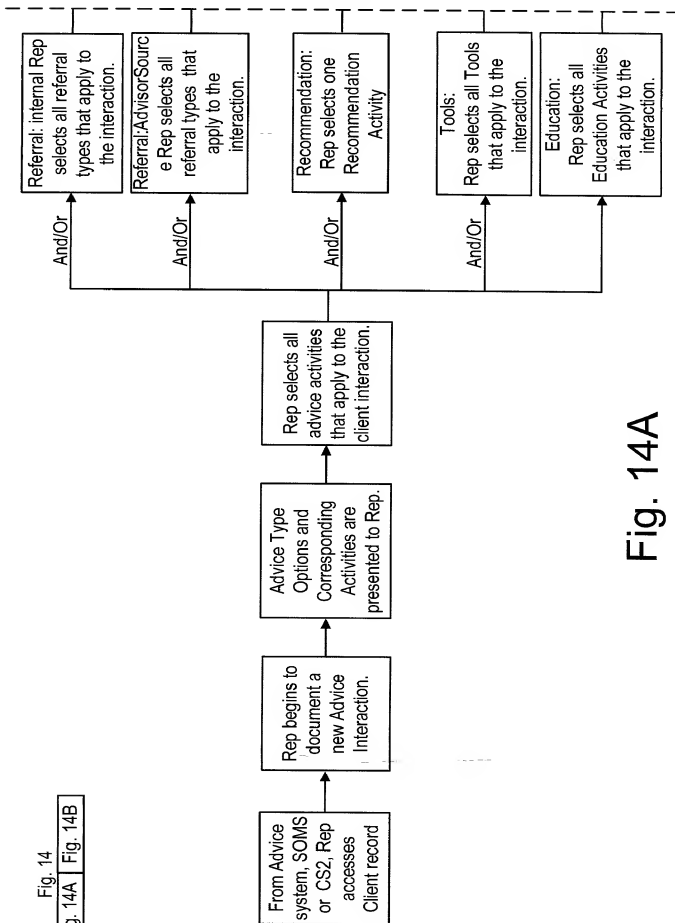


Fig. 14A

Fig. 14  
 Fig. 14A Fig. 14B

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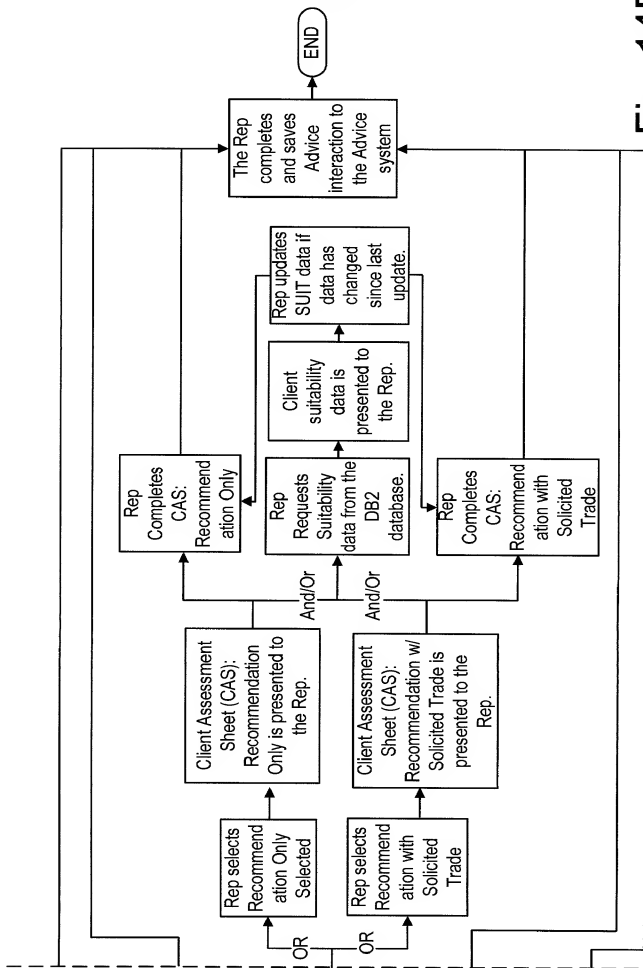
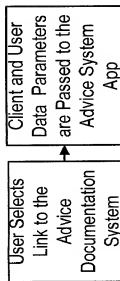
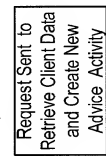
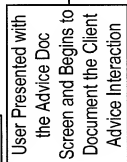
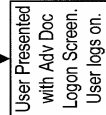
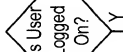


Fig. 14B

Rep: Desktop =  
MARS Application



Rep: Desktop =  
Advice Application



Advice System (DB2)

Client Suitability Data (DB2)

M Queue

SOMS System (Oracle)

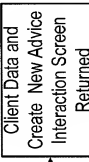


Fig. 15

Fig. 15A

Fig. 15B

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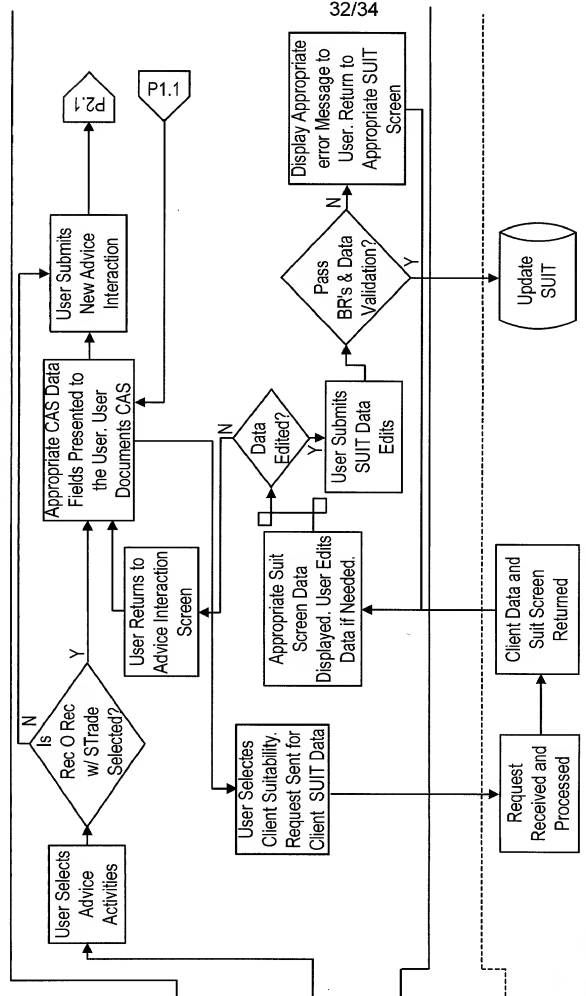


Fig. 15B



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Rep: Desktop = Advice  
 Application

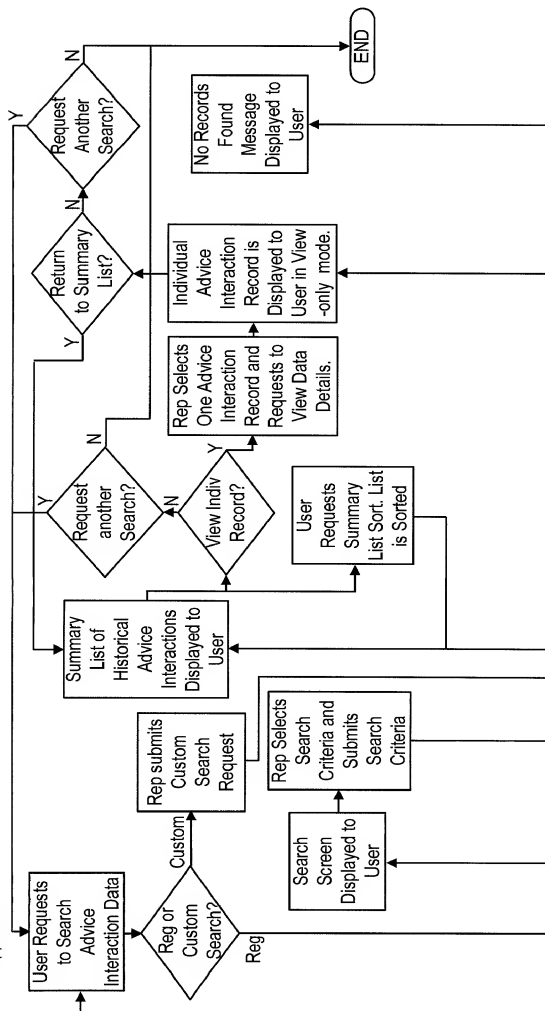


Fig. 16

Fig. 16A

Fig. 16B

Fig. 16A

**Fig. 16B**